

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Thomas J. Daley, et al.  
Serial No.: 10/767,699  
Filing Date: January 29, 2004  
Art Unit: 3624  
Confirmation No.: 5670  
Examiner: Unknown  
Title: *SYSTEM AND METHOD FOR CONTROLLING  
THE DISCLOSURE OF A TRADING ORDER*

**Mail Stop Amendment**

Commissioner of Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

**INFORMATION DISCLOSURE STATEMENT**

Applicants respectfully request, pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, that the references listed on the attached PTO-1449 form be considered and cited in the examination of the above-identified patent application. The present application was filed after June 30, 2003. Therefore, under the July 11, 2003 waiver of 37 C.F.R. § 1.98(a)(2)(i) by the U.S. Patent and Trademark Office, copies of the U.S. Patents and U.S. Patent Application Publications listed in the attached PTO-1449 form are not enclosed. Copies of all other references are enclosed for the convenience of the Examiner. No representation is made that a search has been made, that these references are material to patentability, or that these references qualify as prior art.

**REMARKS**

Pursuant to 37 C.F.R. § 1.97(b), Applicants believe this Information Disclosure Statement has been filed before the **issuance/mailling** date of the first Office Action. Therefore, Applicants believe no fee is due. However, if a fee is required, the Commissioner is hereby authorized to charge any fees or credit any overpayments to Deposit Account No. 02-0384 of Baker Botts L.L.P.

Respectfully submitted,

Baker Botts L.L.P.  
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Date: May 17, 2007

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Customer No. **05073**

<b>PTO-1449</b>  <b>Information Disclosure Citation In an Application</b>		Application No. <b>10/767,699</b>		Applicant(s) <b>Thomas J. Daley, et al.</b>	
		Docket Number <b>069547.0174</b>	Group Art Unit <b>3624</b>	Filing Date <b>January 29, 2004</b>	

  

<b>U.S. PATENT DOCUMENTS</b>							
		<b>DOCUMENT NO.</b>	<b>DATE</b>	<b>NAME</b>	<b>CLASS</b>	<b>SUBCLASS</b>	<b>FILING DATE</b>
	A	5,950,177	09/07/1999	Lupien, et al.	705	37	07/15/1997
	B	6,012,046	01/04/2000	Lupien, et al.	705	37	10/16/1997
	C	6,098,051	08/01/2000	Lupien, et al.	705	37	04/26/1996
	D	2003/0097325 A1	05/22/2003	Friesen, et al.	705	37	04/09/1999
	E	2003/0177086 A1	09/18/2003	Gomber, et al.	705	37	12/02/2002
	F	2004/0236636 A1	11/25/2004	Lutnick, et al.	705	26	10/02/2003
	G	2005/0108141 A1	05/19/2005	Farrell, et al.	705	37	11/14/2003

  

<b>FOREIGN PATENT DOCUMENTS</b>								
		<b>DOCUMENT NO.</b>	<b>DATE</b>	<b>COUNTRY</b>	<b>CLASS</b>	<b>SUBCLASS</b>	<b>TRANSLATION</b>	
							<b>YES</b>	<b>NO</b>
	H	EP 0 388 162 A2 & A3	03/14/1990	EPO	G06F	15/30		
	I	GB 2 389 687 A	12/17/2003	UK	G06F	17/60		
	J	GB 2 411 492 A	08/31/2005	UK	G06F	17/60		
	K	WO 00/26834 A2 & A3	05/11/2000	PCT	G06F	17/60		
	L	WO 01/09757 A2	02/08/2001	PCT	G06F	17/00		
	M	WO 01/25996 A1	04/12/2001	PCT	G06F	17/60		
	N	WO 01/52150 A1	07/19/2001	PCT	G06F	17/60		
	O	WO 2005/083603 A1	09/09/2005	PCT	G06F	17/60		

  

		<b>DOCUMENT (Including Author, Title, Source, and Pertinent Pages)</b>	<b>DATE</b>
	P	Parlour, Christine; <i>Price Dynamics in Limit Order Markets</i> ; Queen's University, Kingston, Ontario, Canada; 111 pages.	11/1995
	Q	Weber, Bruce; <i>Screen-Based Trading in Futures Markets: Recent Developments and Research Propositions</i> ; Abstract; ISBN 0 7695 0001 3; 1 page.	1999
	R	<i>Balance of Trade</i> ; Banking Technology; Vol. 20, No. 9; ISSN 0266-0865; pages 42-44.	11/2004
	S	Patent Pending Application Serial No. 11/499,833 entitled <i>System and Method for Matching Trading Orders Based on Priority</i> by Matthew W. Claus, et al.; Atty Docket No. 069547.0267; 46 total pages.	filed 08/03/2006

  

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

**U.S. PATENT AND TRADEMARK OFFICE**